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## NOTICE OF ALLOWANCE AND FEE(S) DUE

53184 7590 06/11/2009  
i2 TECHNOLOGIES US, INC.  
ONE i2 PLACE, 11701 LUNA ROAD  
DALLAS, TX 75234

EXAMINER	
CHIENCINSKL, SIEGFRIED E	
ART UNIT	PAPER NUMBER

3695  
DATE MAILED: 06/11/2009

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/686,711	10/10/2000	Pallab K. Chatterjee	020431.0706	4657
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TITLE OF INVENTION: SYSTEM AND METHOD FOR PROVIDING ELECTRONIC FINANCIAL TRANSACTION SERVICES

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$0	\$0	\$1510	09/11/2009

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED.** THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

**THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED.** SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

### HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

**IMPORTANT REMINDER:** Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

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(Depositor's name)
(Signature)
(Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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09/686,711	10/10/2000	Pallab K. Chatterjee	020431.0706	4657
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**TITLE OF INVENTION: SYSTEM AND METHOD FOR PROVIDING ELECTRONIC FINANCIAL TRANSACTION SERVICES**

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nonprovisional	NO	\$1510	\$0	\$0	\$1510	09/11/2009

EXAMINER	ART UNIT	CLASS-SUBCLASS
CHENCINSKI, SIEGFRIED E	3695	705-036000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/147; Rev 03-02 or more recent) attached. **Use of a Customer Number is required.**

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, 1 \_\_\_\_\_
- (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. 2 \_\_\_\_\_
- 3 \_\_\_\_\_

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY AND STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☐ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☐ Issue Fee
- ☐ Publication Fee (No small entity discount permitted)
- ☐ Advance Order - # of Copies \_\_\_\_\_

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
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5. **Change in Entity Status** (from status indicated above)

☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.

☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature \_\_\_\_\_ Date \_\_\_\_\_

Typed or printed name \_\_\_\_\_ Registration No. \_\_\_\_\_

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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i2 TECHNOLOGIES US, INC. ONE i2 PLACE, 11701 LUNA ROAD DALLAS, TX 75234			CHIENCINSKI, SIEGFRIED E	
			ART UNIT	PAPER NUMBER

3695

DATE MAILED: 06/11/2009

## Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 2201 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 2201 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

**Notice of Allowability****Application No.**

09/686,711

**Examiner**

SIEGFRIED E. CHENCINSKI

**Applicant(s)**

CHATTERJEE ET AL.

**Art Unit**

3695

**- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--**

All claims being allowable, PROSECUTION ON THE MERIT IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to the decision by the Board of Patent Appeals and Interferences dated January 26, 2009.
2. ☒ The allowed claim(s) is/are 1-11, 13-23 and 25-44.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some\* c) ☐ None of the:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.

**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.  
(a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached  
1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.  
(b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.  
**Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).**
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

**Attachment(s)**

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO/SB/08),  
Paper No./Mail Date \_\_\_\_\_
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_\_
7. ☒ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_.

/Siegfried E. Chencinski/  
Examiner, Art Unit 3695

/Charles R. Kyle/  
Supervisory Patent Examiner, Art Unit 3695

## DETAILED ACTION

### Status of Claims

1. Claims 1-11, 13-23 and 25-44 are pending. Claims 1, 13, 25, 26, 31 and 38 are amended by examiner's amendment in this paper. Claims 1-11, 13-23 and 25-44 are allowed in this Office Action.

### Examiner's Amendment

2. Claims 1, 3, 8, 10, 11, 13, 25, 26, 27, 30, 31, 36, 38 and 42 are amended with agreement by Applicant's approval. The examiner's amendments are underlined. Claims 1, 3, 8, 10, 11, 13, 25, 26, 27, 30, 31, 36, 38 and 42 now read as follows:

1. A computer-implemented marketplace for providing one or more financial transaction services to participants in connection with commercial transactions involving the participants, comprising:

a database containing data executed by a computer processor containing:

registration information for one or more types of transactions available to participants through the marketplace;

participation criteria for each participant specifying one or more types of transactions in which the participant is willing to participate in association with the marketplace, each participant being pre-qualified to enter into the one or more types of transactions specified in the participation criteria for the participant; and

one or more processes each configured to provide an associated financial transaction service for one or more participants in connection with ongoing transactions involving the participants;

the marketplace operated through the computer processor to:

initiate a selected process in response to a specified event associated with an ongoing transaction, according to the registration information and participation criteria, to provide a corresponding financial transaction service to at least one participant involved in the ongoing transaction; and

monitor activities of the at least one participant in the ongoing transaction to assess

whether the participant should continue to be pre-qualified to participate in transactions of the same type as the ongoing transaction.

3. The marketplace of Claim 1, wherein at least some of the registration information comprises a payment point, the marketplace further operated to generate payment instructions for communication to a participant in response to a transaction reaching the payment point.

8. The marketplace of Claim 1, wherein the initiated process is configured to initiate a transfer of funds on behalf of the participant.

10. The marketplace of Claim 8, wherein the initiated process is configured to generate information for communication to one or more enterprise resource planning (ERP) systems associated with the participant.

11. The marketplace of Claim 1, wherein at least one of the processes is a participant qualification process configured to determine the acceptability of the participant and of one or more financial agents:  
from which the participant may select; and  
from or to which funds may be transferred on behalf of the participant.

13. A method operating on one or more computers for providing one or more financial transaction services to participants in connection with commercial transactions involving the participants, comprising:  
storing registration information for one or more types of transactions available to participants through a computer-implemented marketplace;  
storing participation criteria for each participant which specifies one or more types of transactions in which the participant is willing to participate in association with the marketplace, each participant being pre-qualified by the one or more computers to enter into the one or more types of transactions specified in the participation criteria for the

participant;  
providing one or more processes each configured to provide an associated financial transaction service for one or more participants in connection with ongoing transactions involving the participants;  
using the marketplace to initiate a selected process in response to a specified event associated with an ongoing transaction, according to the registration information and participation criteria, to provide a corresponding financial transaction service to at least one participant involved in the ongoing transaction; and  
monitoring by the one or more computers activities of the at least one participant in the ongoing transaction to assess whether the participant should continue to be pre-qualified to participate in transactions of the same type as the ongoing transaction.

25. A system operating on one or more computers for providing one or more financial transaction services to participants in connection with commercial transactions involving the participants, comprising:

one or more computers;

means for storing registration information for one or more types of transactions available to participants through a computer-implemented marketplace;  
means for storing participation criteria for each participant which specifies one or more types of transactions in which the participant is willing to participate in association with the marketplace, each participant being pre-qualified to enter into the one or more types of transactions specified in the participation criteria for the participant;  
means for providing on or more processes each configured to provide an associated financial transaction service for one or more participants in connection with ongoing transactions involving the participants;  
means for initiating a selected process in response to a specified event associated with an ongoing transaction, according to the registration information and participation criteria, to provide a corresponding financial transaction service to at least one participant involved in the ongoing transaction; and  
means for monitoring activities of the at least one participant in the ongoing transaction

to assess whether the participant should continue to be pre-qualified to participate in transactions of the same type as the ongoing transaction.

26. Software operating at a computer-implemented marketplace for settling a commercial transaction between a buyer and a seller, the software being embodied in a computer-readable medium containing instructions which when executed by one or more computers is configured to:

receive an order for at least one item from the buyer, the buyer being associated with stored participation criteria accessible to the marketplace that specifies one or more types of transactions in which the buyer is willing to participate in association with the marketplace, the participation criteria indicating that the buyer is willing to participate in purchase transactions, the buyer being pre-qualified to enter into the one or more types of transactions specified in the participation criteria for the buyer, the order received from the buyer initiating a purchase transaction;

communicate the order to the seller for fulfillment of the order; receive notification from the seller in response to shipping of the item; receive notification from the buyer in response to acceptance of the item;

communicate payment instructions to at least one financial agent associated with the buyer;

receive payment from the financial agent associated with the buyer; communicate the payment to a financial agent associated with the seller; receive notification from the seller in response to acceptance of the payment; communicate accounting information reflecting settlement of the transaction; and

monitor activities of the buyer in the purchase transaction to assess whether the buyer should continue to be pre-qualified to participate in purchase transactions.

27. The software of Claim 26, further configured to communicate the order to a financial agent associated with the buyer or the seller.

30. The software of Claim 26, further configured to communicate the accounting information to enterprise resource planning (ERP) functionality associated with the buyer or the seller.

31. A method, performed at a computer-implemented marketplace, for settling a commercial transaction between a buyer and a seller, comprising:  
receiving an order for at least one item from the buyer, the buyer being associated with stored participation criteria accessible to the marketplace that specifies one or more types of transactions in which the buyer is willing to participate in association with the marketplace, the participation criteria indicating that the buyer is willing to participate in purchase transactions, the buyer being pre-qualified by the one or more computers to enter into the one or more types of transactions specified in the participation criteria for the buyer, the order received from the buyer initiating a purchase transaction;  
communicating the order to the seller for fulfillment of the order; receiving notification from the seller in response to shipping of the item; receiving notification from the buyer in response to acceptance of the item;  
communicating payment instructions to at least one financial agent associated with the buyer;  
receiving payment from the financial agent associated with the buyer; communicating the payment to a financial agent associated with the seller;  
receiving notification from the seller in response to acceptance of the payment  
communicating accounting information reflecting settlement of the transaction; and  
monitoring by the one or more computers activities of the buyer in the purchase transaction to assess whether the buyer should continue to be pre-qualified to participate in purchase transactions.

36. A marketplace for settling a commercial transaction between a buyer and a seller, comprising:  
by one or more computers;

means for receiving an order for at least one item from the buyer, the buyer being associated with stored participation criteria accessible to the marketplace that specifies one or more types of transactions in which the buyer is willing to participate in association with the marketplace, the participation criteria indicating that the buyer is willing to participate in purchase transactions, the buyer being pre-qualified to enter into the one or more types of transactions specified in the participation criteria for the buyer, the order received from the buyer initiating a purchase transaction;

means for communicating the order to the seller for fulfillment of the order; means for receiving notification from the seller in response to shipping of the item; means for receiving notification from the buyer in response to acceptance of the item; means for communicating payment instructions to at least one financial agent associated with the buyer;

means for receiving payment from the financial agent associated with the buyer; means for communicating the payment to a financial agent associated with the seller; means for receiving notification from the seller in response to acceptance of the payment means for communicating accounting information reflecting settlement of the transaction; and

means for monitoring activities of the buyer in the purchase transaction to assess whether the buyer should continue to be pre-qualified to participate in purchase transactions.

38. The system of Claim 1, wherein the marketplace is further operated to automatically modify the pre-qualification of the at least one participant based on the monitoring of the activities of the participant in the ongoing transaction if such modification is determined to be appropriate.

42. The software of Claim 26, further configured to automatically modify the pre-qualification of the buyer based on the monitoring of the activities of the buyer in the purchase transaction if such modification is determined to be appropriate.

The above amendments were approved by Attorney Steven J. Laureanti on Wednesday, June 3, 2009 via a telephone conversation with the examiner and SPE Charles Kyle.

### ***Reasons for Allowance***

3. The following are the examiner's statement of reasons for allowance: Claims 1, 13, 25, 26, 31 and 36 recite a marketplace, a method, a system and computer software executed by a computer for providing one or more financial transaction services to participants in connection with commercial transactions involving the participants. US Patent 4,799,156 to Shavit appears to be the closest prior art Applicant's claimed inventions.

However, regarding independent claim 1, Shavit does not disclose participation criteria for each participant specifying one or more types of transactions in which the participant is willing to participate in association with the marketplace, each participant being pre-qualified to enter into the one or more types of transactions specified in the participation criteria for the participant as recited in claim 1.

Regarding independent claim 13, see the discussion of claim 1 and Shavit does not disclose marketplace operable to monitor as claim 1 describes, or a step of monitoring activities of a participant or monitoring activities of a participant to assess whether the participant should continue to be pre-qualified to participate in transactions of the same type as the ongoing transaction.

Regarding independent claim 25, Shavit does not disclose a marketplace operable to monitor as claim 1 describes, or a step of monitoring activities of a participant or monitoring activities of a participant to assess whether the participant should continue to be pre-qualified to participate in transactions of the same type as the ongoing transaction.

Regarding independent claim 26, Shavit does not expressly or inherently describe a monitoring step or structure to affect such a result.

Regarding independent claim 31, does not expressly or inherently disclose a monitoring step as defined in claim 31 for the same reasons regarding independent claims 1 and 13.

Regarding independent claim 36, for the same reason that Shavit did not expressly or inherently describe the monitoring means of claim 25, Shavit does not expressly or inherently describe the monitoring means of claim 36. Dependent claims 2-11, 14-23, 27-30, 32-35 and 37-44 are allowed because of their dependence on allowed independent claims 1, 13, 25, 26, 31 and 36.

### ***Conclusion***

4. Any inquiry concerning this communication or earlier communications from the Examiner should be directed to Siegfried Chencinski whose telephone number is 571-272-6792. The Examiner can normally be reached Monday through Friday, 9am to 6pm.

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Charles Kyle, can be reached on 571-272-6746.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://portal.uspto.gov/external/portal/pair>.

Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). The following is a LINK to PRIVATE PAIR - <https://portal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>.

Any response to this action should be mailed to:

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(571)273-8300 [Official communications; including After Final communications  
labeled "Box AF"]

Application/Control Number: 09/686,711  
Art Unit: 3695

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or

(571) 273-6792 [Informal/Draft communications, labeled "PROPOSED" or  
"DRAFT"]

Hand delivered responses should be brought to the address found on the above  
USPTO web site in Alexandria, VA.

/Siegfried E. Chencinski/

Art Unit 3695  
June 5, 2009

/Charles R. Kyle/  
Supervisory Patent Examiner, Art Unit 3695